

23 January 2003

Amended 5 Feb. 2003 – due date changed.

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Attach. B: page 5

**Department of Defense
Information Assurance Scholarship Program
www.dod.mil/c3i/iasp**

Sponsored by the
Assistant Secretary of Defense for
Command, Control, Communications and Intelligence

(ASD(C3I))

SOLICITATION FOR PROPOSALS

From

Universities Designated by the National Security Agency (NSA) as Centers of Academic Excellence
in Information Assurance Education (CAE/IAE)

Issued by the National Security Agency

Deadline for Proposal Submission: April 8, 2003

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**DEPARTMENT OF DEFENSE
INFORMATION ASSURANCE SCHOLARSHIP PROGRAM
SOLICITATION**

I. INTRODUCTION

The Department of Defense Information Assurance Scholarship Program (DoD IASP) has been established, in accordance with provisions of Chapter 112, "Information Security Scholarship Program," of title 10, United States Code, added by Public Law 106-398, The National Defense Authorization Act for fiscal year 2001. The purpose of the program is to increase the number of qualified students entering the field of Information Assurance (IA) to meet DoD's increasing dependence on information technology for war fighting and the security of its information infrastructure.

Regionally accredited U.S. institutions of higher education, designated by the National Security Agency (NSA) as Centers of Academic Excellence in Information Assurance Education (CAE/IAE), are invited to submit proposals for developing and managing a full-time, institution-based, grant-funded scholarship program in the disciplines underpinning Information Assurance for Academic Year 2003-2004. CAE/IAE institutions may propose collaboration with other accredited institutions, and are encouraged to include accredited post-secondary minority institutions. CAE/IAE institutions may also propose to undertake a special partnering agreement with the Information Resources Management College (IRMC) of the National Defense University (NDU). Proposal requirements for addressing the IRMC/NDU Partnership option are described at ANNEX 1.

Consistent with 10 U.S.C. 2200b, CAE/IAE proposals to this solicitation may also request modest collateral support for purposes of institutional capacity building to include faculty development, curriculum development, laboratory improvements, and/or faculty research in information security related to providing a strong foundation for an Information Assurance Scholarship Program. Requirements for proposing modest capacity building support are detailed at ANNEX 2, and should also be responded to in a separate ANNEX 2 submission.

To continue the development of a strong foundation for the scholarship program during the Academic Year 2003-2004, competition will be limited to full-time students entering their third or fourth years of undergraduate education; students in their first or second year of a masters degree program; students pursuing doctoral degrees; and students enrolled in graduate certificate programs.

As of the issuance date, 23 January 2003, this solicitation is being issued "Subject to the Availability of Funds." While funding has been identified, it has not yet been allocated to the executive agency. Therefore, no awards can be made until the funds have been provided. Upon the allocation of the funding to the executive agent, notification to the CAE/IAEs will be made.

II. TERMINOLOGY

A. Information Assurance: For purposes of this program, the term Information Assurance encompasses the scientific, technical, and management disciplines required to ensure computer and network security including the following functions:

- System/network administration and operations
- Systems security engineering
- Information assurance systems and product acquisition
- Cryptography
- Threat and vulnerability assessment, to include risk management
- Web security
- The operations of computer emergency response teams
- Information assurance training, education and management
- Computer forensics
- Defensive information operations

Relevant academic disciplines, with concentrations in information assurance, would include, but are not limited to Mathematics, Biometrics, Electrical Engineering, Electronic Engineering, Computer Science, Computer Engineering, Software Engineering, Computer Programming, Computer Support, Data Base Administration, Computer Systems Analysis, Operations Research, Information Security (Assurance), and Business Management or Administration.

B. The opportunities exist for part-time Government (DoD) employment while receiving scholarship (see Student Application), through the Student Career Experience Program (SCEP) or other Agency Intern and hiring options. The Student Career Experience Program (SCEP) appointment authority, established by the Federal Office of Personnel Management, is commonly referred to as the “cooperative education program” for the federal government.

III. OVERVIEW OF PROGRAM SCOPE

The key elements of the Information Assurance Scholarship Program (IASP), and the CAE/IAEs role in the process, are addressed in the subsections that follow. University grantees will be required, as a condition of grant award, to establish and manage the program, *including disbursement of scholarship funds to students*.

A. Academic Year 2003-2004: DoD estimates awarding scholarships (via grant awards) for a period of one year to designated CAE/IAE institutions, operating independently or in collaboration with other accredited institutions, including accredited post-secondary minority institutions. The purpose is to lay a sound foundation for the future development of a robust scholarship program for undergraduate and graduate students enrolled in the CAE/IAE or its collaborating institutions’ degree and graduate certificate information assurance programs. To this end, institutions participating will be required to conduct a self-evaluation to identify improvements in program design and management for implementation in future years. In addition to proposing establishment of an Information Assurance Scholarship Program, CAE/IAEs may also propose developing a partnership with the IRMC, and/or request funds for capacity building activities. Grant awards are contingent upon availability of funds.

B. IRMC/NDU Partnership: CAE/IAE institutions wishing to partner with the IRMC/NDU will be required to accept into their graduate degree programs, DoD civilian employees and military officers who have successfully completed the IRMC graduate level CIO Certificate Program with an information assurance concentration. Requirements for addressing the IRMC Partnership option are described at ANNEX 1, and are to be responded to in separate ANNEX 1 Technical and Cost Proposal submissions. The requirements for the student application nomination and review process described below and in the accompanying Student Application materials for this program *do not apply to DoD civilian employees or military personnel* whose applications for this program will be handled directly by the Department of Defense as described in ANNEX 1.

C. Capacity Building: In developing a strong educational base for the scholarship program, CAE/IAE proposals may also address plans for building the institution's capacity for research and education in information assurance as described at ANNEX 2. Funding may be requested to address needs in faculty development, curriculum development, laboratory improvements, and/or faculty research in information security in order to develop a strong foundation for the Scholarship Program Support for these activities, however, will be limited as described at ANNEX 2. CAE/IAE requests for capacity building support should be submitted in separate ANNEX 2 Technical and Cost Proposal Submissions. Costs for administering scholarships should clearly be part of the basic proposal. Items related to curriculum, faculty, and research should clearly be part of the Annex 2 proposal.

Research areas of interest to the DoD are related to the Department's "Defense in Depth" concept and the INFOSEC Research Council (IRC) "hard problem" list. You are encouraged to consider these areas if you are submitting research capacity proposals. This list is contained below. More information about these items and the IRC may be found at the IRC Web page: <http://www.infosec-research.org/documents.html>.

- Intrusion and Misuse Detection
- Intrusion and Misuse Response
- Security of foreign and mobile code
- Controlled sharing of sensitive information
- Application security
- Denial of Service
- Communications security
- Security management infrastructure
- Information security for mobile warfare
- Secure system composition
- High assurance development
- Metrics for security

D. Proposal Formats: The following types of proposals may be submitted in this competition:

- Proposals only addressing establishment or continuation of an Information Assurance Scholarship Program;

- Proposals addressing establishment or continuation of an Information Assurance Scholarship Program with an ANNEX 1 submission proposing a partnership with IRMC;
- Proposals addressing establishment or continuation of an Information Assurance Scholarship Program with an ANNEX 2 submission requesting support for capacity building;
- Proposals addressing establishment or continuation of an Information Assurance Scholarship Program with both an ANNEX 1 and an ANNEX 2 submission.

E. DoD Scholarship Application Due Dates: Institutions electing to establish a scholarship program and to submit a proposal to do so must ensure that they establish a due date for scholarship applications that will allow them sufficient time to evaluate the applicants and prepare their recommendations of student candidates for forwarding no later than **April 8, 2003**. (See Section XII. "Deadline for Submission" for dates and Attachment B "Proposal Preparation Instructions and Certifications" for details on submission requirements.)

F. DoD Role: While CAE/IAEs are required to provide DoD an assessment of each applicant, actual selection of scholars for DoD internship and employment from among those applying will be the purview of DoD. Under the grant award to the CAE/IAE, students selected as Information Assurance Scholars will receive the full cost of tuition, books (from the recommended list, not all books on the "optional reading lists"), fees, and a stipend to cover room and board. The stipend levels are \$10,000 for undergraduate students and \$15,000 for graduate (Masters/PhD) students. DoD will also provide sponsors who will maintain contact with the student during the scholarship period, and who will facilitate the student's entry into internships and eventual DoD employment. DoD will contact CAE/IAEs submitting successful proposals to develop agreements governing the character, scheduling, and periodic assessment of student internships.

G. Future Opportunities for Returning Students: Contingent on adequate funding appropriations, it is anticipated that current CAE/IAE grantee institutions and successful scholarship winners will receive follow-on support to complete their degree program. However, they will have to re-apply each year by submitting updated copies of grades, reflecting maintenance of the grade point average and a letter from the Principal Investigator. .

IV. INSTITUTIONAL ELIGIBILITY

Only regionally accredited U.S. institutions of higher education, designated by the National Security Agency (NSA) as Centers of Academic Excellence in Information Assurance Education (CAE/IAE), are eligible to submit proposals for establishing an Information Assurance Scholarship Program in response to this solicitation. These institutions are listed at Attachment A to this solicitation. CAE/IAE designated institutions may propose collaboration with other accredited institutions, to include accredited post-secondary minority institutions. The four DoD CAE/IAEs will not be competing for funds under this solicitation. These institutions are the Naval Postgraduate School, the Information Resources Management College of the National Defense University, the U.S. Military Academy, West Point, and the Air Force Institute of Technology. These institutions are participating in the DoD retention portion of the IASP.

V. STUDENT OBLIGATIONS

Students selected to participate in the DoD Information Assurance Scholarship Program will be required to sign a written agreement obligating them to work for the Department of Defense, as a civilian employee, for one calendar year for each year, or partial year, for which scholarship assistance is received. They will also be required to serve in internship positions with DoD organizations during the time they are receiving scholarship support until they complete the course of study provided for by the scholarship. These internships will be arranged by DoD to occur during the summer or during breaks between school terms as appropriate to the individual's circumstances and the institution's calendar. The internship will not count toward satisfying the period of obligated service incurred by accepting the Information Assurance scholarship. Students will be required to formally accept or decline the scholarship within 21 days of notification. Non-acceptance by this date will mean the scholarship will be offered to the next available student.

Those students selected and appointed under the Student Career Experience Program (SCEP) are required to complete 640 hours of work prior to graduation. In addition to internships during the summer, work during breaks, there are also potential possibilities for unclassified research while attending school. Such arrangements will be coordinated between the student and the agency. Agencies authorized to hire via an exception to the SCEP program, will coordinate the time necessary to be eligible for appointment at their respective agency.. The students will be required to complete a security investigation questionnaire to initiate the process for a background investigation in preparation for their internships and as a condition of future employment with the Department of Defense. Drug tests or other suitability processing will occur as appropriate. The students will also be required to sign an agreement stating that they will accept assignments requiring travel or change of duty stations as interns or employees. Individuals who voluntarily terminate employment during SCEP/intern appointments or before the end of the period of obligated service required by the terms of Chapter 112, title 10, United States Code, will be required to refund to the United States, in whole or in part, the cost of the educational assistance provided to them.

An opportunity also exists for Reserve and National Guard participation as an alternative to working for the DoD as a civilian. The time frame for pay back under these scenarios is a little different given the nature of the work for the Reserves and National Guard. The obligated service commitment here will be considered to be "two-for-one", rather than "one-for-one" as it is for those participating in the DoD Civilian workforce. If a student is interested in the National Guard or Reserves, as a means to meeting their obligated service requirements, please ensure they indicate this in the application.

Undergraduate scholarship recipients will be required to maintain a 3.0 out of 4.0 grade point average or the equivalent (for those awarded scholarships in AY01/02 or AY02/03, a 2.5 out of a 4.0 grade point average, or the equivalent, will be accepted); graduate students will be required to maintain an overall 3.2 out of a 4.0 grade point average, or equivalent (for those awarded scholarships in AY01/02 or AY02/03, a 3.0 out of a 4.0 grade point average, or equivalent). Failure to maintain satisfactory academic progress will constitute grounds for termination of financial assistance and termination of internship appointment. CAE/IAEs will be responsible for monitoring student progress and will notify the DoD Program Manager should

any student scholar fail to attain minimum academic standards required for continuing scholarship support. Except for small achievement awards, not to exceed \$2,000 in any academic year, a student may not accept simultaneous remuneration from another scholarship or fellowship. Graduate programs may include a reasonable amount of teaching or similar activities as are, in the institution's opinion, contributory to the student's academic progress; however, the development of students, not service to academic institutions, will govern the assignment of these activities.

VI. CONDITIONS OF THE GRANT COMPETITION

In order to be competitive in this grant solicitation, CAE/IAE institutions must be willing to advertise and manage a competition for scholarship applicants; conduct an evaluation of applicants' qualifications and abilities; and submit all the applications received to DoD, along with the CAE's assessment and recommendation of each proposed scholar's capabilities and potential. Institutions are reminded to establish a date for student application submissions that will allow sufficient time for this process. The specific requirements for advertising the scholarship among the candidate student populations, collecting and assessing student applications, and reporting on the process are addressed below in paragraph *VII. CAE Role in Recruiting and Assessing Scholarship Candidates*. Proposal evaluation criteria will address how well CAE/IAEs conduct the recruitment and assessment process.

VII. CAE/IAE ROLE IN RECRUITING AND ASSESSING SCHOLARSHIP CANDIDATES

If the CAE/IAE decides to participate in this grant competition, the following requirements apply:

A. Announcing and Promoting the Program: The CAE/IAE wishing to submit a proposal will be expected to take the following actions, at a minimum, to promote student interest in the DoD scholarship opportunity:

1. Determine and communicate to the relevant student and disciplinary populations any institution unique conditions, instructions, and/or materials (including due dates) that are associated with the acceptance of applications for the DoD Information Assurance Scholarship Recruitment Opportunity.
2. Publish or make available the DoD recruitment announcement and all application material in hardcopy and in appropriate electronic media accessible to the relevant student and disciplinary populations, with instructions as to the location of all institution unique and DoD application materials.
3. Ensure all relevant student and disciplinary populations have substantially equal access to all information about institution unique and DoD announcements, instructions, and application materials.

B. Managing the Application Review and Candidate Assessment Process: CAEs electing to propose establishment of a scholarship program are required to verify each applicant's eligibility for scholarship and academic sufficiency, to evaluate each eligible

candidate's knowledge and ability in certain competency areas important to successful information assurance work, and to provide a relative endorsement level for each eligible candidate. CAEs may determine the procedures to be followed in conducting the evaluation, including records verification, individual interviews, faculty review panels, so long as all applicants are afforded full and equal opportunity for consideration in appropriate review phases.

The following paragraphs explain the administrative eligibility and academic sufficiency factors that CAEs must verify, the competency (knowledge and ability) factors CAEs must evaluate, and the endorsement levels CAEs must determine and record. The procedures followed by the CAE should fully inform and enable both institution and DoD review of each candidate.

1. Eligibility for Scholarship and DoD Appointment. CAEs shall verify documentation of the eligibility of each applicant for scholarship and appointment and shall exclude from further evaluation any applicant unable to meet the following minimum administrative requirements:

- a. The applicant has been accepted for enrollment, or is currently enrolled, as a full-time junior or senior undergraduate, graduate, or graduate information assurance certificate program, student in the CAE.
- b. The applicant has completed (or, by September 2003, will have completed), at a minimum, the first two years of an undergraduate degree program and is eligible to
 - (1) begin either the third or fourth years of an undergraduate degree program;
 - (2) begin the first or second year of a masters degree program;
 - (3) pursue doctoral studies; or
 - (4) complete graduate-level certificate programs in information assurance.
- c. The applicant provides a signed declaration of intent to be considered for a Student Trainee appointment or DoD employee with scholarship assistance.
- d. The applicant provides a signed statement of intent to agree to all of the conditions of employment enumerated below:
 - (1) Provide all documentation necessary to complete a suitability review for federal appointment.
 - (2) Complete a security questionnaire, undergo a background security investigation, and take all other actions required by the employing DoD component to secure, maintain the currency of, and renew a security clearance. In some DoD components, this may include submitting to drug testing and polygraph examinations, as well as psychological reviews, as may be required to establish eligibility for a clearance. The failure to establish and maintain eligibility for a security clearance will be cause for immediate termination of financial assistance (scholarship) and federal employment.

- (3) Complete registration with the Selective Service System, if male.
- (4) Sign a written agreement to work for DoD as a civilian employee for one calendar year for each academic year or partial year, for which scholarship assistance is received, in addition to the service performed during SCEP participation.
- (5) Serve in experiential learning (internship) assignments or positions with DoD (if assigned in a SCEP position, the internship must total 640 hours, prior to graduation to establish eligibility for conversion to permanent, full-time status).
- (6) Sign a declaration of understanding that experiential learning (internship) assignments during SCEP participation do not count toward satisfying the period of obligated service incurred by accepting scholarship assistance.
- (7) Sign an agreement declaring a willingness to accept assignments requiring travel or change of duty stations.
- (8) Refund to the United States, in whole or in part, the cost of the educational (scholarship) assistance provided if employment is voluntarily terminated before the end of the period of obligated service required by the terms of Chapter 112, Title 10, United States Code.
- (9) Applicant cannot be a current DoD or Federal employee.

e. The applicant provides a signed statement attesting to full understanding of the following conditions for scholarship assistance:

- (1) The requirement to enroll in a full-time program leading to an undergraduate or graduate degree, a graduate certificate or doctoral degree with a concentration in information security or assurance.
- (2) The requirement, if an undergraduate student, to maintain a 3.0 out of a 4.0 grade point average (returning students: 2.5 out of a 4.0 grade point average), or, if a graduate student, to maintain an overall 3.2 out of a 4.0 grade point average (returning students: 3.0 out of a 4.0 grade point average), or an analogous rank based on a comparable scale. Failure to maintain satisfactory academic progress constitutes grounds for immediate termination of financial assistance and termination of federal employment.
- (3) The requirement that, except for small achievement awards (not to exceed \$2,000 in any academic year), a student may not accept simultaneous remuneration from another scholarship or fellowship. Graduate programs may include a reasonable amount of remuneration for teaching or similar activities as are, in the institutions' opinion, contributory to the student's academic progress. Development of students, not service to academic institutions, will govern the assignment of these activities.

f. The applicant is a U.S. citizen at the time of application. *Note, if family members are not U.S. Citizens, some Agencies may be unable to process them through the required security clearances. Every effort will be made to assign eligible students at an Agency without such restrictions.*

g. The applicant submits a completed application package to the identified Point of Contact for the CAE not later than the due date established by the CAE for application submissions.

h. The applicant is at least 18 years old.

2. Academic Sufficiency. The CAE shall review the application materials, and conduct such verification as may be necessary to establish the following standards of academic sufficiency. CAEs shall exclude from further evaluation (and provide an endorsement of “Not Recommended” for) any applicant unable to meet the following academic requirements:

a. The applicant is pursuing a course of study and/or has a declared major in one of the scientific, technical or managerial disciplines related to computer and network security that are enumerated under Section VII.A.1 above.

b. As an undergraduate student, the applicant has a 3.0 out of a 4.0 grade point average (returning students: 2.5 Grade Point Average (GPA) out of 4.0), or, as a graduate student, the applicant has a 3.2 GPA out of 4.0 (returning students 3.0 GPA out of 4.0), or an analogous rank based on a comparable scale.

c. The applicant’s demonstrated potential for academic success and fulfillment of degree requirements is substantial. CAEs shall review the factors enumerated below, and shall exclude from further evaluation and not recommend any candidate unable to achieve a minimum score of 2 points on a 5-point scale. Scale values range from Insufficient Potential (One), Sufficient Potential (Two), Average Potential (Three), High Potential (Four), Superior Potential (Five). Factors to be considered in arriving at the rating for “demonstrated potential” are:

- (1) The applicant’s transcript(s) from all institutions of higher education attended.
- (2) The applicant’s current Grade Point Average (GPA).
- (3) Academic honors, distinctions and awards.
- (4) Letters of reference.

3. Knowledge and Ability. The CAE shall document its evaluation of each applicant meeting administrative and academic sufficiency requirements against the following competencies, using a 5-point scale of values, to assess and report on *each* of the six competencies below. The rating scale is: No Knowledge or Ability (One), Basic Knowledge or Ability (Two), Intermediate Knowledge or Ability (Three), Advanced Knowledge or Ability (Four), Superior Knowledge or Ability (Five). Evaluations of the following factors shall be based on the supplemental application material provided by the candidates, letters of reference, and any additional information provided by the applicant in response to CAE requests made for this purpose.

a. Knowledge of the techniques of the information technology and/or information security (assurance) discipline, including encryption, access control, physical security, training, threat analysis, and authentication.

b. Knowledge of the human factors in the information technology and/or information security (assurance), including human computer interaction, design, training, sabotage, human error prevention and identification, personal use policies, and monitoring.

c. Ability to identify and analyze problems, distinguish between relevant and irrelevant information to make logical decisions, and provide solutions to individual and organizational problems.

d. Ability to consider and respond appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.

e. Ability to make clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed, facilitates an open exchange of ideas and fosters an atmosphere of open communication.

f. Ability to express facts and ideas in writing in a clear, convincing and organized manner appropriate to the audience and occasion.

4. Center of Academic Excellence Endorsement. CAEs shall provide an endorsement of each applicant meeting administrative and academic sufficiency requirements that is based on its overall evaluation of all applicant materials, including the competency evaluations described above. CAEs shall indicate only one of the following three levels of endorsement for each applicant:

- a. Not Recommended
- b. Recommended
- c. Highly Recommended

C. Submitting Student Scholarship Applications and CAE/IAE Review and Endorsement: CAE/IAEs that propose to support the scholarship program are required to receive and retain all applications submitted in response to the announcement and to evaluate the applicants as described in detail above. See instructions on requirements and submissions in the Attachment B, Proposal Preparation Instructions.

VIII. TECHNICAL PROPOSALS

See instructions on requirements and submissions in the Attachment B, Proposal Preparation Instructions.

IX. COST PROPOSALS

The cost proposal information can be found in Attachment B, Proposal Preparation Instructions.

X. GRANT PROPOSAL EVALUATION CRITERIA AND SELECTION PROCESS

Proposals will be evaluated by a panel of Department of Defense specialists in Information Assurance drawn from the Military Departments, the Office of the Assistant Secretary of Defense (C3I), the National Security Agency, and other DoD Components. Proposals will be evaluated against the following criteria. Criteria A and B are primary and carry equal weight; criteria C, D, E, and F are of lesser importance, and carry equal weight.

A. The merits of the institution's proposed approach to designing and developing a robust Information Assurance Scholarship Program and the likelihood of its producing high quality Information Assurance scholars for DoD employment.

B. The quality of the institution's process for promoting, advertising and evaluating students for scholarship and DoD appointment, and the effectiveness of this process in producing well-qualified candidates for DoD selection.

C. The proposed program's congruence with statutory intent, the requirements of the Department of Defense, and its relevance and potential contribution to DoD mission needs.

D. The qualifications of key faculty, staff and advisors and their proposed role in the scholarship program.

E. The adequacy of the institution's existing resources to accomplish the program objectives.

F. The realism and reasonableness of the cost proposal.

XI. AWARDS

Awards will be announced in the late May/early June 2003 time frame and grants will be awarded in July/August 2003. Awards will be made for one year only. The DoD may recommend a lower level of funding than that proposed.

The DoD recognizes the considerable institutional investment required to conduct the student recruitment and assessment process, and to develop and submit a competitive proposal in this competition. Depending on the availability of funds, DoD may elect to make small, program initiation awards to CAE/IAEs that have submitted outstanding proposals, and have managed the recruitment and assessment process in an exceptional manner, but whose student candidates may not be selected by DoD in the competition for scholarship and DoD appointments. Because expectations are that the program will grow in future years, these program initiation awards would enable institutions to complete planning for implementing a comprehensive scholarship program and be prepared to manage succeeding rounds of student recruitment.

Similarly, DoD may also elect to make awards in support of the IRMC/NDU partnership described in ANNEX 1, even if none of the CAE/IAE's student candidates are selected for participation in the basic scholarship program. However, as in the case of the program initiation awards described above, the institution's basic (scholarship program) technical proposal must demonstrate exceptional merit and potential for full implementation in succeeding phases of student recruitment and selection.

XII. DEADLINE FOR SUBMISSION

See the proposal preparation instructions for details on the submission of proposals. Essentially, institutionally approved, signed, completed proposals must be received by the Point of Contact no later than **4 p.m. Eastern Standard Time, April 8, 2003.**

XIII. LATE SUBMISSIONS

The CAE/IAE is responsible for submitting the proposal and student materials so as to reach the individual named to receive each of these submissions at the National Security Agency by the date and time specified.

A. Proposals or student materials that arrive at the designated offices after the deadline are “late” and will not be considered for an award or scholarship program selection, except for the following:

1. There is acceptable evidence that, although it was not received in the NSA office designated, the proposal/student materials were delivered to the Agency by the deadline; or
2. The proposal/student materials were sent by U.S. Postal Service Express Mail **three or more** business days prior to the date specified for receipt of proposals. The term “business days” excludes weekends and U.S. federal holidays.

B. In case the operation of the designated Government office is interrupted and the office is unable to receive the proposal, the deadline is extended to the same time of the first day when the office is in operation.

XIV. CONTACT INFORMATION

The central Point of Contact for information regarding this solicitation is:

Ms. Christine M. Nickell, IASP
National Security Agency
Attn: I2, NIETP, Suite 6752
9800 Savage Road
Fort George G. Meade, MD 20755-6752
Telephone: (410) 854-6206
e-mail: c.nicke2@radium.ncsc.mil

ANNEX 1
Partnership with the Information Resources Management College (IRMC)
of the National Defense University (NDU)

CAE/IAE Institutions *may, but are not required to,* address this section of the solicitation with a separate ANNEX 1 to their proposals titled “Proposal for IRMC/NDU Partnership.” This submission will be evaluated separately from the Institution’s general proposal in response to the broader solicitation.

I. OVERVIEW

In addition to non-DoD students, the DoD will award a number of scholarships to current DoD employees. The DoD employees will first complete the DoD’s IRMC/NDU graduate-level CIO Certificate Program. As a part of the CIO Certificate Program, each successful student will also earn Information Assurance Certification (NSTISSI 4011 Certification).

The CIO Certificate Program is available through a number of options including (1) a comprehensive fourteen-week full-time Advanced Management Program (AMP); (2) a series of eight one-week intensive resident courses (with follow-on requirements); (3) a series of eight 12-week web-based distance-learning courses; or (4) a combination of the options.

The Information Assurance Certification is available through three options including: (1) as a concentration in the Advanced Management Program; (2) as a concentration in the intensive resident and/or distance learning versions CIO Certificate Program (requires nine courses); or (3) as a separate certification consisting of four courses, available in residence or through web-based distance learning. It is anticipated that most DoD students in the scholarship program will complete the CIO Certificate Program and Information Assurance Certification through the AMP option.

National Defense University is accredited by the Middle States Association of Colleges and Schools and is a graduate level institution. Currently, seven universities grant DoD civilian employees and military officers who complete the CIO Certificate Program a total of 15 graduate transfer credits toward their master’s and/or doctoral degree programs. Three additional agreements award 9 hours credit for the NSTISSI 4011 Certification only. Additional matriculation agreements are pending. Copies of course syllabi for the varying CIO Certificate Program options and current memoranda of agreement for graduate credit are available by contacting the IRM College’s Associate Dean of Faculty and Academic Programs at 202-685-3888.

II. PARTNERSHIP OPPORTUNITY

IRMC/NDU invites CAE/IAEs to propose partnerships or cite existing agreements that would articulate the IRMC program with a follow-on opportunity at the CAE/IAE. This partnership would allow DoD students to complete a master’s or doctorate with a concentration in information assurance. The following conditions will apply to a partnership arrangement between a CAE/IAE institution and IRMC, and should be addressed in the proposal ANNEX.

A. DoD Student Population: Approximately 9 DoD students will be enrolled in the IRMC CIO Certificate Program scheduled to begin in September 2003. These students will complete the IRMC program by the end of December 2003, and be eligible to enter a full-time graduate program to complete the remainder of their degree in January 2004. Additionally, the DoD will permit up to 9 additional participants who have completed the IRMC requirements since Oct 01 to join this group, for a total of 18. An additional group of 9 students will begin the CIO Certificate Program at IRMC in January 2004, completing in April 2004. Up to 9 additional DoD participants who have completed the IRMC requirement since Oct 01 may join this group to enter a full-time graduate program at a partner CAE/IAE, for a total of 18 students. In subsequent fiscal years, up to 72 students will complete the program in two class groupings each year (up to 36 students per group).

B. DoD Student Demographics: DoD students will be civilian employees and military officers at senior career levels (GS-12 and O-4 officer rank and above) who are competitively selected to participate in the DoD scholarship program and attend the CIO Certificate Program (with NSTISSI 4011 Certification). Besides having successfully completed the CIO Certificate Program and the 4011 Certificate, they will have completed, at a minimum, an undergraduate degree and be eligible to begin the first or second year of a master's degree program or doctoral studies.

C. ANNEX 1 Technical Proposals: CAE/IAE institutions must be willing to accept DoD-selected students who have, at a minimum, an undergraduate degree, admit them to their graduate programs in information assurance, and award a minimum of 15 graduate credits from the IRMC CIO Certificate Program (with NSTISSI 4011 Certification) or a minimum of 9 hours for NSTISSI 4011 Certification only. CAE/IAE Institutions should indicate their willingness to accept these conditions or cite existing agreements, address the specific number of graduate credits they award or will award for the IRMC CIO Certificate and/or NSTISSI 4011 Certification, and indicate whether the agreement will be extended to all IRMC CIO Certificate Program and NSTISSI 4011 Certification graduates, including those not participating in the scholarship program. In addition, they should briefly address:

1. the number of students they can accommodate from each of the anticipated IRMC class cycles during Academic Year 2003-2004, and thereafter;
2. master's and/or doctoral degree programs the students could participate in;

For each identified degree, provide the following information:

3. number of additional credit hours required for degree completion
 4. estimated number of months to complete degree (do **not** include IRM College time);
 5. prerequisite qualifications required or desired (if any) of potential DoD students;
 6. anticipated curriculum content of graduate programs proposed for the DoD students;
- and**
7. whether students will be required to attend courses on the college campuses or whether there are alternative means (e.g. web-based or satellite-based distance learning) through which students might participate in the college's degree programs.

D. ANNEX 1 Cost Proposals: CAE/IAE Institutions wishing to partner with DoD in this effort should provide a separate cost ANNEX 1 in support of their “Proposal for IRMC/NDU Partnership.” In preparing this cost ANNEX 1, CAE/IAE Institutions should estimate the per-student scholarship costs (tuition, books, application and other fees and related academic costs) for DoD students. Unlike non-DoD students participating in the scholarship program, DoD students will not receive stipends. These scholarship costs should be identified separately from any other direct costs associated with the partnership proposed with IRMC, e.g., evaluation of curriculum content for determining transfer credits, programmatic enhancements, managerial requirements, etc. DoD will determine at grant award the method it will use to pay DoD student scholarship costs of tuition, fees, books and related academic expenses as these may be provided separately from other costs associated with the partnership and via different funding instruments. In computing indirect (F&A) costs, CAE/IAEs are again reminded that F&A costs may not be applied to scholarship amounts per OMB Circular A-21.

V. EVALUATION CRITERIA

The “Proposal for IRMC/NDU Partnership” ANNEX will be evaluated separately from the rest of the CAE/IAE Institution’s proposal using the following criteria. Criteria A and B are primary and carry equal weight; Criterion C is of lesser importance.

A. The merits of the institution’s proposed approach, and the ability of the institution to meet the conditions imposed by DoD for an IRMC/NDU partnership.

B. The potential benefit of the program to DoD students, and to meeting DoD mission needs.

C. The realism and reasonableness of the cost proposal.

ANNEX 2

Institutional Capacity Building

CAE/IAE Institutions *may, but are not required to*, address this section of the solicitation with a separate ANNEX 2 to their proposals titled “Proposal for Capacity Building.” This submission will be evaluated separately from the Institution’s basic proposal in response to the solicitation for establishing an Information Assurance Scholarship Program.

I. OVERVIEW

In accordance with 10 U.S.C. 2200b, CAE/IAEs may request modest support for building the institution’s capacity for research and education in information assurance. Funding may be requested to address needs in faculty development, curriculum development, laboratory improvements and/or faculty research in information security in order to develop a strong foundation for the Scholarship Program.

A. ANNEX 2 Technical Proposals: In proposing support for one or more capacity building activities, CAE/IAE technical proposals to ANNEX 2 must detail

1. The extent to which the capacity to be developed supports an information assurance mission need of the Department of Defense (see Section III.C. of the solicitation for possible DoD Research topics);
2. The relationship of the support requested to achieving the goals of the Information Assurance Scholarship Program;
3. The specific elements of the Scholarship Program that will be enhanced or strengthened by the requested support;
4. The impact on the Scholarship Program of not receiving the support requested.
5. Specific Elements shall be broken out and addressed separately.

B. ANNEX 2 Cost Proposals: Cost proposals supporting ANNEX 2 should be submitted separately and should detail salaries, materials, equipment, and related direct and indirect costs for supporting the capacity building initiative(s) proposed. CAE/IAEs are advised that requests for capacity building may be limited to \$200,000 or less. Proposals for option years will be considered.

II. EVALUATION CRITERIA

The ANNEX 2 “Proposal for Institutional Capacity Building” will be evaluated separately from the rest of the CAE/IAE Institution’s proposal using the following criteria. Criteria A and B are primary and carry equal weight; Criterion C will be weighed less.

A. The merits of the proposed capacity building initiative(s) and their relationship to laying a strong foundation for the Information Assurance Scholarship Program.

B. The potential benefit to IA Scholarship students and to DoD mission needs, of the proposed capacity building enhancements.

C. The realism and reasonableness of the cost proposal.

ATTACHMENT A

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ATTACHMENT B
DoD IASP Proposal Preparation Instructions

Overview:

1. Proposals should begin with a Proposal Cover of not more than two pages containing the information specified in number 2 below, followed by a one-page Executive summary and a Table of Contents. The text of the basic technical (scholarship program) proposal **is limited to 10 single-spaced pages.** Technical responses to ANNEX 1 and ANNEX 2 are limited to 5 pages each. Cost proposals for both the basic (scholarship program) proposal and the ANNEXES should be sufficiently detailed for meaningful evaluation and follow the recommended formats provided. Type font will be no less than 12 pitch. Offerors will submit one hard copy original technical proposal and 3 CD-ROM copies in “read-only” format. A separate cost proposal submission should include one hard copy original and 3 CD-ROM copies in “read-only” format. Student applications will also be required in original and 3 CD-ROM copies.

2. The Offeror’s Proposal Cover should provide the following information:

- a. Title of Proposal
- b. Submitted in response to the Department of Defense Information Assurance Scholarship Program Grant Solicitation
- c. Name, Title and Signature (use blue ink) of the Principal Investigator (PI) or Project Director (PD)
 - Phone Number, FAX Number and e-mail Address of the PI/PD
 - Institution and Department or Division
 - Street/PO Box/Building Mailing Address
 - City, State, Zip Code
- d. If a current DoD Contractor or Grantee, identify the Agency, Point of Contact, and Phone Number
- e. Proposal Summary
 1. Funds Requested for Basic Technical Proposal for the Current Year; Number of Non-DoD Scholars Proposed for Support – Current Year
 2. IRMC/NDU Partnership Annex 1 - Funds Requested for Current Year; Number of DoD Scholars Proposed for Support – Current Year
 3. Capacity Building Annex 2 - Funds Requested for Current Year/Option Years
 4. Total funds requested from DoD
- f. Indicate proposed partnerships with another institution, and if the proposed partner is a minority institution qualified to be identified by the Department of Education as a minority institution (i.e., a historically Black college or university, Hispanic-serving institution, Tribal college or university, or other institution meeting statutorily-defined criteria for serving ethnic groups that are underrepresented in science and engineering). The Department of Education maintains the list of U.S. accredited post-secondary institutions that currently meet the statutory criteria for identification as minority institutions at the web site: <http://www.ed.gov/offices/OCR/minorityinst.html>

g. Name and Title of the University Official authorized to obligate contractually and with whom business negotiations should be conducted.

Phone Number, FAX Number and e-mail Address of the Official

Name of University

Street Address (P.O. Box Numbers cannot be accepted)

City, State, Zip Code

h. Signature of the Authorized University Official (use blue ink) and the Date

i. Taxpayer Identification Number (TIN)¹

j. DUNS Number²

3. Sign and attach Attachment C, "Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Restrictions on Lobbying; and Drug-Free Workplace Requirements" which follows.

Scholarship Applications:

CAE/IAEs that propose to support the scholarship program are required to receive and retain all applications submitted in response to the announcement and to evaluate the applicants as described in Section VII of the Solicitation.

1. Requirements: CAE/IAEs will transmit all original applications and application materials from all (eligible and ineligible) candidates to the DoD Point of Contact identified below and in the DoD Scholarship announcement not later than March 21, 2003. CAE/IAEs will transmit student applications and institutional assessments under separate cover from the proposal submission, and label them "Student Information Assurance Scholarship and Vacancy Announcement Applications and Assessments." The original and 3 CD-ROM copies in "read-only" format should be transmitted.

2. Cover Letter: CAE/IAEs will provide a transmission cover letter that indicates the following (a copy of this should be available on the CD as well):

- a. the number of returning/renewal students reapplying for scholarships;
- b. the intent of the CAE to submit a proposal in response to this solicitation;
- c. the number of applications received;
- d. the number of applicants endorsed for scholarship and SCEP appointment; and
- e. the relative rank or standing of recommended applicants, differentiated by academic discipline(s) and academic level(s), as applicable.
- f. attach a summary page with the addresses/phone numbers and email of the student applicants where they may be reached in June and July.
- g. attach the required checklist for each student applicant.

The Department of Defense will conduct its own review and evaluation of scholarship applicants, which may include telephone and personal interviews, and notify the CAE/IAE of those accepted for the program when the institutional grant awards are announced.

Basic (Scholarship Program) Proposal:

1. Institutions wishing to be competitive in this solicitation must describe the institution's plan, to include the elements below, for establishing and maintaining a comprehensive IA Scholarship Program. The basic technical proposal in response to this solicitation should not exceed **10 single-spaced pages**, and should address:

- a. The design, structure and scope proposed for the institution's Information Assurance Scholarship Program, including special or unique qualities that might distinguish it from the approaches of other institutions, e.g., special mentoring of students, experiential learning elements of the curriculum, partnerships with industry, undergraduate and graduate research opportunities, multidisciplinary emphasis in instruction and research, and collaboration with other institutions.
- b. Highlight any changes or address any areas not covered by the CAE Submission.
- c. A description of the process used to publicize the program and recruit the student candidates proposed for scholarship award, including any special materials developed by the institution to promulgate information on the program, e.g., brochures, electronic announcements, etc. designed to ensure the access of all relevant student and disciplinary populations to information about institution-unique and DoD application or evaluation materials.
- d. A brief description of the assessment process used by the institution to arrive at the CAE/IAE's nominations for scholarship support, including a summary of the numbers, academic majors, levels, and qualifications of the students recommended by the institution. ***In no case shall the CAE/IAE include personal data or information that can be linked to or associated directly or indirectly with a specifically identified or named candidate in the proposal itself. All personal information related to specific candidates is to be submitted separately in the institution's transmission of Student Application and Assessment material described above.***
- e. A brief description of any integration of the Defense Information Assurance Scholarship Program with other similar federally funded programs operating within the CAE/IAE, e.g., the Federal Cyber Service: Scholarship for Service Program sponsored by the National Science Foundation and the Critical Infrastructure Protection and Information Assurance Science and Engineering Augmentation Awards for Fellows supported under the DoD Multidisciplinary Research Program of the University Research Initiative.
- f. The institution's plan for administering and managing scholarship awards, stipends, and other financial aspects of the program, including
 - a. a demonstration of the institution's ability to ensure timely disbursement to students of authorized scholarship entitlements, including related requirements such as providing students with appropriate documents for reporting stipend income for tax purposes;
 - b. plans for managing the sub-allocation of funds to collaborating institutions, if proposed.
 - c. plans should not include efforts, which should be part of a capacity building proposal as identified in Annex II. Such items include Graduate Research Assistant and lab assistants' tuition; NCISSE and other Conference funding; computer lab building; summer salary releases; IA curriculum development.

ANNEX 1:

In addition to submitting a basic proposal, the CAE/IAE *may also address ANNEX 1* of this solicitation, and propose establishing a Partnership with the Information Resources Management College (IRMC). IRMC/Partnership Proposals will be reviewed and evaluated separately from the basic proposal for establishing the scholarship program in accordance with evaluation criteria specified for ANNEX 1. Submission of a proposal in response to ANNEX 1 is optional, and should not exceed 5 single-spaced pages.

ANNEX 2:

CAE/IAE's wishing to propose capacity building activities should respond to ANNEX 2 of this solicitation. Awards, if any, for capacity building support for faculty development, curriculum development, laboratory improvements and/or faculty research will be limited as described at ANNEX 2 of the solicitation. The estimated amount of capacity building awards is \$200,000, however, the DoD IASP Evaluation Team reserves the right to award grants in excess of this amount for proposals which are in support of DoD activities. ANNEX 2 capacity building requests will be reviewed and evaluated separately from the basic proposal for establishing the scholarship program, and considered for support if sufficient funds are available. Submission of a proposal in response to ANNEX 2 is optional, and should not exceed 5 single-spaced pages. Funds for ANNEX 2 will be awarded only if the institution submits a basic proposal for funding. Specific projects should be identified and addressed separately. The cost proposal should reflect the specific project costs associated with them. Examples include specific costs associated with capacity building; curriculum development; faculty development; and specific research areas. Each research topic area should be broken out separately.

COST PROPOSALS

1. The cost proposal should reflect the contents and sections of the respective technical proposals. If an institution submits technical responses to ANNEX 1 and/or ANNEX 2, then separate cost proposals addressing the elements proposed in these ANNEXES must also be submitted. This would be in addition to the basic proposal. The worksheets provided in Attachment E, should be utilized to enable the evaluators to quickly process the information. Your Cost and Pricing Organization may also submit Cost proposals in the University format, as long as the total funding matches.
2. The cost proposal(s) must contain cost estimates sufficiently detailed for meaningful evaluation. For budget purposes, use an award start date of August 1, 2003. The budget must include the total cost of the project, as well as a breakdown of the amounts requested from DoD and non-federal funds to be provided as cost sharing. The cost proposal(s) should reflect proposed costs for each academic year of support for one year. The format provided should be utilized for the purposes of evaluation. Cost proposal elements should include:
 - a. Time being charged to the project, for whom (project director, support staff, etc.), and the commensurate salaries and benefits.
 - b. Cost of tuition, fees, books, computers, stipends, and other allowable scholarship costs for each student scholarship recipient. (See item h. below regarding the inapplicability of indirect costs to scholarship amounts.)
 - c. Estimate of material and operating costs.
 - d. Costs of teaching and research equipment used to support the educational progress of the student scholars. If the costs are not specific to the DoD Scholarship portion, they should be included in the Annex 2 proposal, rather than the basic.
 - e. Sub-award costs, and type, to partner (minority or other partner) institutions if applicable (does not include IRMC partnership in accordance with ANNEX 1). Note that sub-award of funds must be described in both the basic technical proposal and in the cost section, and that cost (facilities and administration) to sub-awards shall be governed by OMB Circular A-21 cost principles.

- f. Travel costs and time, and their relevance to the program objectives. If these costs are not specific to the DoD Scholarship portion, they should be included in the Annex 2 proposal, rather than the basic.
- g. Other direct costs.
- h. Indirect costs (facilities and administration). Per OMB Circular A-21, "Cost Principles for Educational Institutions" (Section G.2 "The Distribution Basis"), the scholarship funds to be provided to the student shall be excluded from the total direct costs when computing the applicable F&A indirect costs for the project.
- i. Total costs for each Academic Year up to 2 years, and a total for the program.

DEADLINES:

4. Institutionally approved, signed, completed proposals and student applications must be received no later than **4 p.m. Eastern Standard Time, April 8, 2003**, at the office listed below. The original hard copy and 3 CD-ROM copies of the university's technical and cost proposals, as well as the university's submission of the Student Scholarship Applications and the institutional Review and Endorsement of the candidates required as stated above. (one original hard copy and 3 CD-ROM copies) are to be **mailed** to:

Ms. Christine Nickell, IASP
National Security Agency
Attn: I2, NIETP, Suite 6752
9800 Savage Road
Fort George G. Meade, MD 20755-6752

If you are having the package sent **via courier** (FedEx, UPS, etc.), the package should be sent to the following address (**DO NOT COURIER OR HAND DELIVER TO 9800 SAVAGE ROAD!**):

NSA
1472 Dorsey Road
Door 1, 2, or 3
Hanover, MD 21076

ATTN: Ms. Christine Nickell, IASP
I2, NIETP
Phone: (410) 854-6206
Suite # 6752

LATE SUBMISSIONS

The CAE/IAE is responsible for submitting the proposal and student materials so as to reach the individual named to receive each of these submissions at the National Security Agency by the date and time specified.

A. Proposals or student materials that arrive at the designated offices after the deadline are "late" and will not be considered for an award or scholarship program selection, except for the following:

- 1. There is acceptable evidence that, although it was not received in the NSA office designated, the proposal/student materials were delivered to the Agency by the deadline; or

2. The proposal/student materials were sent by U.S. Postal Service Express Mail **three or more** business days prior to the date specified for receipt of proposals. The term “business days” excludes weekends and U.S. federal holidays.

B. In case the operation of the designated Government office is interrupted and the office is unable to receive the proposal, the deadline is extended to the same time of the first day when the office is in operation.

¹ The DoD is required by 31 U.S.C. 7701 to obtain each recipient's TIN (usually the Employer Identification Number) for purposes of collecting and reporting on any delinquent amounts that may arise out of the recipient's relationship with the Government.

² The institution's number in the data universal numbering system (DUNS) is a unique nine digit (all numeric) identification number for organizations. Dun & Bradstreet Corporation assigns it. You can receive a DUNS number by calling Dun & Bradstreet at 1(800) 333-0505 or go to the Dun & Bradstreet Web site at <http://www.dnb.com/dnbhome.htm>.

ATTACHMENT C

CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; RESTRICTIONS ON LOBBYING; AND DRUG-FREE WORKPLACE REQUIREMENTS

Proposal Title _____

Date _____

The above referenced proposal was submitted in response to the Department of Defense Information Assurance Scholarship Program Grant Solicitation.

Applicants should refer to the regulations cited below to determine the certifications to which they are required to attest. Applicants should also review the instructions for certification requirement under 32 CFR Part 25, "Government-wide Debarment and Suspension (Nonprocurement)"; and 32 CFR Part 28, "New Restrictions on Lobbying"; 32 CFR Part 25, "Government-wide Requirements for Drug-Free Workplace (Grants)". The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Office of Naval Research determines to award the covered transaction, grant, or cooperative agreement.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS--PRIMARY COVERED TRANSACTIONS

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING LOBBYING ACTIVITIES

The following certification applies only to actions exceeding \$100,000:

Section 1352, Title 31, U.S.C. (PL 101-121, Section 319) entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions".

- (1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

Alternate I. (Grantees Other Than Individuals)

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against

employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted--

- (1) Taking appropriate personnel action against such employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, ZIP code)

Check ☐ if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(1) The grantee certifies that:

(a) As a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction in writing, within 10 calendar days of the conviction, to every grant office or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby make the above certifications on behalf of the applicant.

Applicant Institution:

Taxpayer Identification Number (TIN):

Printed Name and Title of Authorized Representative:

Signature of Authorized Representative

Date:

The following will be included in any grant award:

MILITARY RECRUITING ON CAMPUS

As of 25 January 1995, DoD Grant and Agreement Regulations Part 23.1 “Military Recruiting on Campus” is to be added to DoD grants. The full text of the interim rule published in the Federal Register [at 60 FR 4544-4] is as follows:

“As a condition for receipt of funds available to the Department of Defense (DoD) under this award, the recipient agrees that it is not an institution that has a policy of denying and that it is not an institution that effectively prevents the Secretary of Defense from obtaining for military purposes: (A) entry to campuses or access to students on campuses; or (B) access to directory information pertaining to students. If the recipient is determined, using procedures established by the Secretary of Defense to implement section 558 of Public Law 103-337 (1994), to be such an institution during the period of performance of this agreement, and therefore to be in breach of this clause, the Government will cease all payments of DoD funds under this agreement and all other DoD grants and cooperative agreements, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award.”

BASIC IASP PROPOSAL

(Note-grads encompasses Masters and PhD Students, if different/add column)

DIRECT COSTS

Students		In-state			Out-of-state			Partnering University		
# of students	U/Gs	Grads			U/Gs	Grads		U/Gs	Grads	
Tuition		0.0		0.0		0.0		0.0		0.0
Fees										
Stipend	10	0.0	15	0.0	10	0.0	15	0.0	15	0.0
Books		0.0		0.0		0.0		0.0		0.0
		0.0		0.0						
A Total		0.0		0.0		0.0		0.0		0.0

Faculty and Staff

	months	\$\$	months	\$\$	months	\$\$
PI						
Faculty 2						
Faculty 3						
Faculty 4						
B Total		0		0		0

Fringe Benefits

PI						
Faculty 2						
Faculty 3						
Faculty 4						
C Total		0.00		0		0

Other

computers/laptops						
SW Lic. Fees						
Travel Faculty						
Travel Students						
Admin*						
D Total		0		0		0

Total Direct Costs

E A+B+C+D		0.0		0.0		0.0
-----------	--	-----	--	-----	--	-----

INDIRECT COSTS

F&A

F %				0		0
-----	--	--	--	---	--	---

TOTAL

G E+F		0.000		0.000		0.000
Grand Total				0.000		

*these costs must be directly associated with the IASP Portion of the program

Annex 1, IRMC Partnership

DIRECT COSTS

Students		In-state		Out-of-State				
# of students	masters	0	phd	0	masters	0	phd	0
Tuition	0.000	0.0	0.000	0.0	0.000	0.0	0.000	0.0
Fees								
Books	0	0.0	0	0.0	0	0.0	0	0.0
A	Total	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Faculty and Staff								
	months	\$\$	months	\$\$	months	\$\$	months	\$\$
PI								
Faculty 2								
Faculty 3								
Faculty 4								
B	Total							
Fringe Benefits								
PI								
Faculty 2								
Faculty 3								
Faculty 4								
C	Total	0	0	0	0	0	0	0
Other								
Equipment								
Travel Faculty								
Travel Students								
Admin								
Other (Computers/SW Lic. etc)								
D	Total	0	0	0	0	0	0	0
Total Direct Costs								
E	A+B+C+D	0.0	0.0	0.0	0.0	0.0	0.0	0.0
INDIRECT COSTS								
F&A								
F	%	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL								
G	E+F	0	0	0	0	0	0	0
Grand Total				0				

Annex 2, Capacity Building

Separate work sheets requested for individual projects/research areas

DIRECT COSTS

Project

A Total 0.0

Faculty and Staff

months \$\$

PI

Faculty 2

Faculty 3

Faculty 4

Lab Admin

B Total 0

Fringe Benefits

PI

Faculty 2

Faculty 3

Faculty 4

C Total 0.00

Other

Equipment

Travel

Admin

Other

GRA

D Total 0

Total Direct Costs

E A+B+C+D 0.0

INDIRECT COSTS

F&A

F %

TOTAL

G E+F 0.000